

*Questions and Answers*  
**ET Handbook No. 406 (ETA 9002 and VETS 200 Report and Specifications)**

**COLLECTION OF DEMOGRAPHIC DATA**

1. Is the collection of race and ethnicity and disability status by the public labor exchange required when registering job seekers?

*Yes. The Department of Labor's Equal Opportunity regulations (29 CFR Part 37.37(b)(2)) require the collection and retention of demographic information about individuals participating in programs or activities funded by DOL: race and ethnicity, age, gender and disability status. Specifically, the state must ensure that a data collection and retention system for its state programs is established and maintained (29 CFR Part 37.53 and 37.37(b)(2)). Part 37 also requires that each state develop and implement a Methods of Administration (MOA) document. The MOA, which covers a state's Workforce Investment Act Title I, Wagner-Peyser, and Unemployment Insurance programs, shows how the state has complied with and will continue to comply with the non-discrimination and equal opportunity provisions of the Workforce Investment Act and its implementing regulations. The sixth requirement of the state's MOA asks for a description of how the state's data collection and retention system will be maintained and used for equal opportunity purposes.*

2. Are data on client characteristics, such as eligible claimant, disability status, etc., viewable to partner staff, or are they considered confidential?

*Client characteristic data are confidential. States, however, may determine data sharing arrangements amongst One-Stop program partners in accordance with their own laws to facilitate effective service delivery to customers. Such data may be shared on a need-to-know basis. Services cannot be denied to participants who decline to indicate race and/or ethnicity.*

3. On the 9002A and C, we are asked to report the number of job seekers with disabilities. Can a job seeker decline to answer this question and still have a valid registration? In addition, is there a conflict between asking for disability information and any aspect of the Americans with Disabilities Act (ADA)?

*States must inquire about disability status from job seekers. However, it is not required that a participant respond to questions about disability status. Services cannot be denied to participants who decline to indicate disability status. Requesting this information, which is to be collected upon registration, is not in conflict with Section 504 of the Rehabilitation Act of 1973 or the Americans with Disabilities Act of 1990, as long as there is no evidence of denial of services as a result of providing the information or of a customer declining to identify a disability.*

## **REGISTRATION/REPORTING**

4. Please clarify information in TEIN 13-00 (Consultation Paper on Labor Exchange Performance Measurement System) regarding registration of job seekers: Is it mandatory that job seekers provide a Social Security Number (SSN) for the purposes of registration?

*The Department can require states to ask a job seeker for his/her social security number as part of the registration process for public labor exchange services. States have to disclose the reason for request of the SSN. Social security number disclosure must be voluntary and states cannot deny access to job seeker services if the SSN is not provided. In such instances, an alternate participant identifier is to be used. States are not expected to report any individual identifiers (e.g., SSN, alternate) to DOL, and will report aggregate data only. States should ensure that job seeker confidentiality is maintained in accordance with state and federal law. We are aware that the 9002 entered employment and employment retention performance measures will be determined through wage records. We feel, however, that the lack of a SSN will inhibit the employer wage record file cross matching process for only a small percentage of labor exchange registrants.*

5. What data elements must states complete on the 9002 reports?

*All non-shaded items listed on ETA 9002 A-E & VETS 200 A-C are mandatory for reporting.*

6. Can a state workforce agency (SWA) access the State Directory of New Hires (SDNH) to verify entered employment and retention outcomes?

*Under section 653A of the Social Security Act (42 U.S.C. 13206-7(b)), state workforce agencies operating employment security and workers' compensation programs have been granted SDNH access for the purpose of program administration. The SSA does not define "employment security programs," but it has been interpreted by DOL to mean SWA-administered UI and ES programs.*

*The means of access to the SDNH by SWAs varies from state to state and is dependent upon: (1) which state agency houses the directory and (2) whether the directory of new hires is part of a statewide automated data processing and information retrieval system needed to administer child and spousal support programs. For example, if the SDNH is located with the state child support enforcement (CSE) agency, all disclosures must be in accordance with SSA provisions and Department of Health and Human Services (DHHS) regulations. If the SDNH is not part of the statewide child and spousal data processing and retrieval system, inter- or intra-agency access to the directory may be granted and/or expanded by state law.*

7. How should multiple distinct services rendered to a single individual in the report period

be reported? In other words, do we count only one service per client for the four quarter report period?

*A partial answer to this is “yes,” further illustrated by the chart below. The draft ETA 9002 A has one data field for capturing the total number of individuals receiving staff-assisted services (Row 10) where all individuals are counted once. Other subset categories break out the various types of staff-assisted services, (Rows 11-15: career guidance, job search activities, referred to employment, referred to other WIA services, referred to support services). The individual may appear in more than one subset or multiple times.*

*Although an individual may receive a service multiple times, he/she appears only once in the total count of job seekers receiving that service. Thus, it is important to keep in mind that the data captured for service-related items are based on the number of individuals receiving a particular service and not on the number of times a particular service is provided to an individual.*

*As an illustration, a group of three workers received various Wagner-Peyser staff-assisted services. Worker A received Career Guidance (Row 11) assistance. Worker B received Job Search Activities (Row 12) and was Referred to Employment (Row 13). Worker C was Referred to Employment (Row 13) three times. The information reported on the ETA 9002 A for these three workers would appear as follows:*

ETA 9002 A Report Field and Activity Description	Count Value	Registered Job Seeker(s) Included in Count Value
Row 10: Received Staff-Assisted Services	3	Workers A, B, and C
Row 11: Career Guidance	1	Worker A
Row 12: Job Search Activities	1	Worker B
Row 13: Referred to Employment	4	Workers B and C
Row 14: Referred to WIA Services	0	None
Row 15: Referred to Support Services	0	None

*Utilizing this system, it is possible to see the total number of individuals who received some type of staff-assisted service, in addition to the number of individuals receiving a specific service, such as career guidance.*

8. Please define a “registration year” and the process for reporting 9002 and VETS 200 data.

*With the implementation of the labor exchange performance measures, it is important to be able to identify job seekers according to their quarter of registration. It’s also important to have consistent definitions of registration for both services and performance outcomes. Thus, a job-seeking customer is counted as a registered job seeker during the quarter in which registration occurs (registration quarter), and the subsequent three quarters. This*

*four quarter period constitutes the registration year. A job seeker who engages in a labor exchange activity after a registration year expires will begin a new registration year; states will need to review and update customer data as necessary.*

*For purposes of reporting, a rolling four-quarter period is used. The 9002 A and 9002 B quarterly reports will cover persons who registered or received services within the prior four quarters. The 9002 C and 9002 D reports will capture outcomes on registered job seekers, including veterans, for the most recent four consecutive quarters. The rolling four-quarter reporting period eliminates the concept of a carry-over registration from one program year to the next and provides for some uniformity for registration across states. Additionally, once the registration year expires, the job seeker would start a new registration year upon engaging in a labor exchange activity within the local One-Stop system, thus ensuring that a job seeker is counted only once during a one-year period. A job seeker who is "re-registered" is eligible to be counted again in the measures. States will need to develop automated processes to track and report on registrants according to their registration quarter.*

9. Do reporting instructions include the software programs to generate computations for the performance measures?

*The ET Handbook No. 406 does not contain software instructions. We are making available to all states software that supports state performance calculation and reporting. Developed in partnership with Mathematica Policy Research, Inc., the labor exchange report validation software and user's guide are available at <http://ows/doleta.gov/employ/validation.asp>.*

10. When will the first report under the revised reporting instructions be due?

*The overall reporting process was effective July 1, 2002. States must now collect data using the revised reporting instructions. For job seekers and veterans registered during the quarter ending September 30, 2002, the ETA 9002 A and B reports (services to job seekers and veterans) will be due November 15, 2002. Performance outcome information on this group of job seekers will be due May 15, 2004. The following schematic provides an overview of the reporting structure:*

#### ***JOB SEEKERS and VETERANS:***

*For job seekers registering during the first quarter of PY 2002 (July 1 to September 30, 2002), the ETA 9002 A and B reports will be due November 15, 2002.*

*For these same job seekers, outcome information on these job seekers will be reported on the ETA 9002 C and D reports as follows:*

<i>Job Seeker Entered Employment Rate:</i>	<i>November 14, 2003</i>
<i>Job Seeker Employment Retention Rate at Six Months:</i>	<i>May 15, 2004</i>
<i>Job Seeker Customer Satisfaction:</i>	<i>February 14, 2003</i>

*For job seekers and veterans registered during the first quarter of PY 2002 (July 1-September 30, 2002), the following chart indicates the due date of the first report for the ETA 9002 A and B (services to job seekers and veterans) and ETA 9002 C and D (performance outcomes job seekers/employers and veterans):*

<b>ETA Report</b>	<b>Reported Data</b>	<b>Due Date of First Report</b>
<b>ETA 9002 A and B</b>	<b>Services Provided</b>	<b>November 15, 2002</b>
<b>ETA 9002 C and D</b>	<b>Entered Employment Data Fields</b>	<b>November 14, 2003</b>
<b>ETA 9002 C and D</b>	<b>Employment Retention Data Fields</b>	<b>May 15, 2004</b>
<b>ETA 9002 C and D</b>	<b>Job Seeker Customer Satisfaction Data Fields</b>	<b>February 14, 2003</b>

*As illustrated above, there will be a 12 to 18 month lag period between the first report of services for this one group of registered job seekers on the 9002 A and B, and entered employment and employment retention outcomes for this group reported on the ETA 9002 C and D reports.*

*Since the reports listed above will be the first received under the new reporting system, these will only contain information for one quarter of registrants. As the system ramps up, using the rolling four quarter concept, eventually four quarters of information will be reported. The first time that four cohorts of information (annual roll-up for PY 2002) will be reported will be as follows:*

***ETA 9002 A and B***

*Services Provided: August 15, 2003*

***ETA 9002 C and D***

*Job Seeker Entered Employment August 14, 2004*

*Job Seeker Employment Retention Rate at Six Months: February 14, 2005*

*Job Seeker Customer Satisfaction: November 14, 2003*

***ETA 9002 E***

*Job Openings Received: August 15, 2003*

***EMPLOYERS:***

*Also, for employers served during the first quarter of PY 2002, the Employer Customer Satisfaction score will be reported on the February 14, 2003 report.*

***JOB OPENINGS:***

*For the ETA 9002 E report containing job openings and the number of employers listing jobs with the labor exchange, the first report covering jobs listed during the first quarter of PY 2002 will be due November 15, 2002.*

11. Is there an opportunity to carry in registrants from PY 2001 into PY 2002?

*The concept of “carry-in” of registrants does not apply. State workforce agencies must ensure that the transition in reporting systems results in no adverse impact on delivery of labor exchange services to job seekers and employers. Job seekers and employers still registered PY 2001 will continue to receive services in PY 2002. Similarly, job openings listed with the labor exchange through June 2002 must be provided with referrals until closed in accordance with state policy and procedures. To help ensure a smoother transition in reporting systems and to support the principle of continuity of labor exchange services, the following guidelines apply:*

- C All applicants registered with the labor exchange through June 30, 2002, will be reported in PY 2001 using the current reporting instructions.*
- C All applicants registered effective July 1, 2002, will be reported in PY 2002 using the revised reporting instructions.*
- C Applicants registered in PY 2001 will continue to receive services in PY 2002. However, when the One-Stop system has contact with the person in PY 2002, his/her registration will be updated as appropriate and that individual will be counted as a new registration in PY 2002.*

12. Will the state be able to submit revised quarterly reports?

*As indicated in the ETA Enterprise Information Management System’s (EIMS) Labor Exchange Reporting sub-system (LERS) user’s guide, a state may enter updates to the most recent quarter’s report until the next quarterly report has been certified. At the point when a quarterly report is certified, the previous quarterly report cells are locked and no additional changes are allowed.*

13. What is the difference between the ETA 9002 D and VETS-200 A, B, and C reports?

*The ETA 9002 D Quarterly Report (Performance Outcomes - Veterans) will report outcomes of services provided to veterans served by the labor exchange, regardless of whether or not services are provided by LVER or DVOP or other One-Stop program partner staff. The VETS 200 report is a subset of the ETA 9002 D and captures data on veterans served by LVER and DVOP staff only.*

14. There is no mention of the Indicators of Compliance (IOC) report in the proposed reporting instructions. How will the IOC report be coordinated with the new 9002 reports?

*The Department is undertaking an evaluation of statutory and regulatory policies and*



*procedures and reporting systems pertaining to activities for migrant and seasonal farm workers. The Indicators of Compliance and other data collection and reporting systems will be considered as part of this evaluation process. In the meantime, states will continue to use ETA Form 5148 to report the Indicators of Compliance.*

15. Are states still required to use ETA Form 5148 to report services to migrant and seasonal farm workers? If so, how will data taken traditionally from the 9002 be captured on the equity indicators?

*Yes, states will continue to use ETA Form 5148 to report on services to MSFWs, as well as on states' monitoring activities, referrals of violations to enforcement agencies and agricultural clearance orders. Unlike the ETA 9002 and VETS 200 reports, ETA Form 5148 will retain its quarterly submission schedule: States will continue to submit the 5148 report no later than 30 days after the end of the quarter; the revised ETA 9002 and VETS 200 reports, on the other hand, will be due no later than 45 days after the end of the quarter. The chart below provides instruction on which data elements from the revised 9002 A report are applicable to the equity indicators:*

EQUITY INDICATORS	9002 A DATA ELEMENTS
1) Referred to Job	Replace with "Referred to Employment" (See 9002 A, Column H, Row 15)
2) Provided with Some Service	Replace with "Received Staff-Assisted Services" (See 9002 A, Column H, Row 12)
3) Referred to Supportive Services	Same. See 9002 A, Column H, Row 17
4) Job Development Contacts	Replace with "Received Staff-Assisted Services" (See 9002 A, Column H, Row 12)
5) Counseled	Replace with "Career Guidance" (See 9002 A, Column H, Row 13)

16. Will DOL supply a crosswalk of the DOT to O\*NET and SIC to NAICS?

*Visit [www.onetcenter.org](http://www.onetcenter.org) for a crosswalk of the DOT to O\*NET and [www.census.gov/epcd/www/naics.html](http://www.census.gov/epcd/www/naics.html) for information on the relationship between SIC and NAICS. In addition, ETA has convened a federal-state DOT to O\*NET Conversion Workgroup that is developing technical assistance and tools to aid in the conversion.*

17. Can the state take credit if a job seeker enters employment with a new or different employer in the quarter of registration? Would that individual be in the numerator of the entered employment rate formula?

*Yes. The entered employment rate is based on a snapshot in the first and second quarters following registration of reportable wages with a new or different employer than the employer prior to registration. If a job seeker were to enter employment in the quarter of registration and have reportable wages in the first or second quarter thereafter, the individual would be included in the numerator.*

18. Can publicly funded labor exchange services other than Wagner-Peyser funded services be reflected in reports for all job seekers? If services provided by staff funded by other programs are included, how will DOL know how well the Wagner-Peyser program is operating?

*In a One-Stop environment, it has become common practice to encourage all One-Stop partners to support registration for job matching and referral, as well as take and enter job orders as part of the labor exchange function. The labor exchange performance measures, therefore, measure the labor exchange function and are not attributable solely to Wagner-Peyser related services.*

*Because Wagner-Peyser funded employment services are the primary program support for labor exchange activities in the One-Stop environment, the measures reflect the success of Wagner-Peyser employment services as well as the One-Stop system.*

19. In state A, UI employer wage record cross match files indicate several employer wage record files containing the names and SSN's of individuals for whom no wages are reported. Can state A take count entry to employment or retention for individuals for whom no wages are present?

*No. To record a valid outcome for these measures, wages must be present. The presence alone of a job seeker's name on the employer's tax file record is not sufficient to prove the active participation in the labor market. The requirement that the wage record must contain wages for individuals that are counted for the purposes of entry to employment and retention is also a requirement used in the WIA performance management system.*

20. Won't the act of referring a registered job seeker to WIA or Vocational Rehabilitation for training be a disincentive to register an individual until it's determined the person is "job ready?"

*DOL explored removing individuals referred to training out of the formula entirely. One of the dilemmas, however, is that an individual may have been referred to a job simultaneously. We do not believe the numbers of registered job seekers referred to training are significant enough to be a major impact on the entered employment rate. This is an area that DOL will be watching closely and evaluating in a formal way as the measurement system rolls out.*

## **CUSTOMER SATISFACTION**

21. Which employers will be part of the potential pool of employers for the Customer Satisfaction Survey?

*The required pool of employers is the same as that defined for the WIA employer customer satisfaction survey: those employers who received services involving significant staff*



*contact through the One-Stop Center. See TEGL 14-00. NOTE: TEGL 6-00, Change 1 brought TEGL 6-00 into alignment with the parameters contained in TEGL 14-00. States may include other employer customer groups in the pool of customers as part of the states' assessment of customer satisfaction with services. As is the case with the WIA customer satisfaction surveys, states will use the ACSI to measure satisfaction of registered job seekers. Additional details on the conduct of the customer satisfaction surveys are contained in the reporting instructions (ET No. 406 Handbook).*

22. Can we exclude from the response rate of the job seeker customer satisfaction survey those individuals that do not have contact information?

*No. These individuals must be included in the response rate if they are selected as part of the sample. This is the same way WIA customer satisfaction surveys are treated. TEGL 6-00, Change 1 (page 3) states, "the sampling frame...includes all (WIA) exiters and employers eligible for the survey, with the exception of those who are deceased, institutionalized, incarcerated, or unable to complete the survey due to illness or injury." The guidance in TEGL 6-00, Change 1 applies to administration of the job seeker customer satisfaction survey. Original guidance from DOL had stated the sampling frame only included participants and employers for whom valid contact information was available.*

23. When will states first report the customer satisfaction survey and employer satisfaction survey scores on the 9002?

*In the first quarter of PY 2002, it is possible to have customer satisfaction data but it is unlikely that many states will have much to report. We have suggested that states could choose to conduct the surveys all at once, quarterly or monthly. Whatever procedures states establish, results should be reported as they become available.*

24. Can a state survey a sample of both WIA and Wagner-Peyser employers and have the results count for both?

*In the One-Stop delivery system envisioned under the Workforce Investment Act of 1998 and the programs amended by WIA, business/employer needs should be met in a seamless fashion. As such, there should be no WIA or Wagner-Peyser employers. States providing seamless service delivery need only one sample to measure employer customer satisfaction. ACSI scores and response rates would be reported for both the labor exchange and WIA report.*

## **CLARIFICATION OF DEFINITIONS**

25. Please define "Interstate." Does this apply to individuals referred to other states on clearance/H2A orders, or to individuals who are referred from other states?

*The definition of "Interstate" is a count of registered job seekers who are part of placement*

*activities involving the joint action of local offices or One-Stop Centers in different states. This information should be reported by the job seeker-holding state. This includes agricultural placement activity.*

26. What is the definition of the “Program Year?”

*The federal program year is July 1<sup>st</sup> through June 30<sup>th</sup>.*

## **VETERANS’ EMPLOYMENT AND TRAINING SERVICE (VETS) MEASURES AND 200 REPORTS**

27. The draft Veterans’ Employment and Training Service Performance Measures consultation paper indicated that states will be required to report on the increase in the number of Federal Contractor Job Listings, or FCJL openings listed. Will this become an additional performance measure for states?

*VETS has chosen not to use the proposed FCJL measure as a measure of performance. States will, however, still be required to submit data on the number of Federal Contractor Job Listings, the number of Federal Contractors listing jobs, the number of veterans referred to FCJL jobs, and on the number of veterans placed in FCJL jobs.*

28. We noticed that there is a line on the VETS 200 for job seeker customer satisfaction. Is it intended that a separate sample of veteran job seekers be selected for customer satisfaction surveys?

*At this time, that line is merely a placeholder on the report. Currently, VETS is researching the best approach to take in attempting to develop a measurable survey. We do not expect the requirement and implementation of this measure in the immediate future. Should this measure be developed, VETS will issue necessary guidance.*

29. For the VETS 200 reports, the instructions indicate that the A-C reports are to be completed for individuals who have registered in the most recent four quarters. The report mixes the reporting of services and outcomes. Since outcomes will not be available for job seekers registered in the most recent four quarters, should veteran outcomes be reported separately (i.e., the 9002 A and B cover a different period of time than the 9002 C and D)?

*Services are reported for the most recent four quarters. Until outcome data are available, the outcome fields will be zero-filled. Our opinion is that having all data reported on one report will be less of a burden on states. We will provide additional guidance on the completion of the report forms.*

30. Please define “Recently Separated Veteran” and “Newly Separated Veteran.”

*P.L. 106-419 amended U.S.C. Title 38, Section 4212, Subsections (a) and (d) to include recently separated veterans. This law also changed the definition of “Recently Separated*

*Veteran "to those registering for services within one year (12 months) of their separation from military service. Since the WIA definition of "Recently Separated Veteran" remains as those registering for service within four years (48 months) of separation, for the purpose of reporting public labor exchange services we have changed the definition of those registering within one year after separation to "Newly Separated Veterans." In sum, "Newly Separated Veteran" is a term of art we created to distinguish 38 U.S.C. Chapter 42 veterans within one year of separation from the WIA term.*

31. Should veterans registering for services be classified in more than one veteran's category?

*Yes. It is possible for a veteran registered for services to be a Vietnam-Era Veteran (not serving in-country) and also a Campaign Veteran as a result of service in a campaign other than Vietnam. By the same token, a Campaign Veteran for service in Vietnam should be classified as both a Campaign Veteran and a Vietnam-Era Veteran. It is to the benefit of the veteran to be classified in as many veterans' categories as possible.*

*Although the number of Vietnam-Era and Campaign Veterans is a subset of total registered veterans, the sum of the total of these two subsets may exceed the total number of registered veterans.*

32. In the VETS 200 reports, why is there a "Referred to Federal Training" data element only? Shouldn't there be a data element that reflects referrals to training other than Federal training?

*The only required data element for reporting referral to training is "Referred to Federal Training." DOL was careful to ask states to report only on elements that we are required to report to Congress. One of the components of the "Received Staff-Assisted Services" category is referral to skills training. States may use that category to report referrals to other types of training.*

33. What type of documentation is required to validate whether a veteran customer is awarded a Campaign Badge? Do we need a veterans' representative to authenticate the Campaign Badge or do we allow the customer to declare this himself?

*There is no validation requirement of the veteran job seeker. An applicant can self-identify as a Campaign Badge veteran at the time of registration, whether the registration process is conducted face-to-face or via self-service.*